

11/19/01
11058 U.S. PTO

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Please type a plus sign (+) inside the box

PTO/SB/05 (03-01)
Approved for use through 10/31/2002. OMB 0651-0032
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **441/1/005**
First Inventor **Shinichi OKAMOTO et al**
Title **METHOD OF MANUFACTURING PART FOR OPTICAL FIBER CONNECTOR**
Express Mail Label No. **ET113254103US**

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **13**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **5**]
(Figs. **1-8**)
5. Oath or Declaration [Total Pages **1**]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [1] Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

170

or ☒ Correspondence address below

Name **Richard M. Goldberg**
Address **25 East Salem Street**
Suite 419
City **Hackensack** State **NJ** Zip Code **07601**
Country **USA** Telephone **201-343-7775** Fax **201-488-3884**

Name (Print/Type) **Richard M. Goldberg** Registration No. (Attorney/Agent) **28,215**
Signature *Richard M. Goldberg* Date **NOV. 19, 2001**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

JC986 U.S. PTO
097993254
11/19/01

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 450.00

Complete if Known

Application Number
Filing Date November 19, 2001
First Named Inventor Shinichi OKAMOTO et al
Examiner Name
Group Art Unit
Attorney Docket No. 441/1/005

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 07-1524
Deposit Account Name Richard M. Goldberg

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 370

2. EXTRA CLAIM FEES

Total Claims 6
Independent Claims 1
Multiple Dependent
Extra Claims -20** = 0 X Fee from below 0 = 0
-3** = 0 X Fee Paid 0 = 0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 84	202 42	Independent claims in excess of 3	
104 280	204 140	Multiple dependent claim, if not paid	
109 84	209 42	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	80
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 80

SUBMITTED BY

Name (Print/Type) Richard M. Goldberg
Signature Richard M. Goldberg

Registration No. 28,215
Attorney/Agent

Complete (if applicable)

Telephone 201-343-7775
Date NOV. 19, 2001

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GOLDBERG PATENT LAW OFFICE

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MEMBER NEW JERSEY AND
NEW YORK BARS

November 19, 2001

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Re: New U.S. Patent Application
Applicants: Shinichi OKAMOTO and
Hisashi OOSHIMA
Title : METHOD OF MANUFACTURING PART FOR
OPTICAL FIBER CONNECTOR
Our File : 441/1/005

Certificate of Mailing By Express Mail Under 37 CFR 1.10

Express Mail "Mailing Label No.": ET113254103US
Date of Deposit : NOVEMBER 19, 2001
I hereby certify that this paper and/or fee is being deposited with
the United States Postal Service "Express Mail Post Office to
Addressee" service under 37 C.F.R. 1.10 on the date indicated above
and is addressed to the ASSISTANT COMMISSIONER FOR PATENTS,
WASHINGTON, D.C. 20231 on NOVEMBER 19, 2001.

Richard M. Goldberg
(Name of Registered Representative
and person mailing)

Richard M. Goldberg Nov 19,
(Signature and Date) 2001

Dear Sirs:

Transmitted herewith for filing in the U.S. Patent and
Trademark Office is a new U.S. patent application including:

- (a) FORM PTO/SB/05 (03-01) - Utility Patent Application Transmittal;
- (b) FORM PTO/SB/17 (10-01) - Fee Transmittal, with authorization to charge \$450.00 to Deposit Account No. 07-1524 for the filing fee (\$370.00) and the assignment recordal fees (\$80.00);
- (c) Application of fourteen (14) pages, with four (4) claims;

[illegible]

- APPLICANTS QUALIFY FOR SMALL ENTITY STATUS.

Respectfully submitted,

RMG:mz
enclosures

GOLDBERG PATENT LAW OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : Shinichi OKAMOTO et al

SERIAL NO.: UNASSIGNED

FILED : NOVEMBER 19, 2001

FOR : METHOD OF MANUFACTURING PART
FOR OPTICAL FIBER CONNECTORCertificate of Mailing By Express Mail Under 37 CFR 1.10Express Mail "Mailing Label No.": ET113254103USDate of Deposit : NOVEMBER 19, 2001

I hereby certify that this paper and/or fee is being deposited with
the United States Postal Service "Express Mail Post Office to
Addressee" service under 37 C.F.R. 1.10 on the date indicated above
and is addressed to the ASSISTANT COMMISSIONER FOR PATENTS,
WASHINGTON, D.C. 20231 on NOVEMBER 19, 2001

Richard M. Goldberg
(Name of Registered Representative)
and person mailing

Richard M. Goldberg
(Signature and Date)

NOV. 19,
2001

LETTER TO OFFICIAL DRAFTSMAN

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Dear Sir:

Figs. 1(a) and 1(b), 6 and 7 have been amended, as indicated
in red on the attached copies herewith.

Specifically, Fig. 1(a) has been separated into Figs.
1(a)(1) and 1(a)(2), Fig. 1(b) has been separated into Figs.
1(b)(1) and 1(b)(2), numeral 9 has been added to refer to the
positive electrode in Fig. 6, and Fig. 7 has been separated into
Figs. 7(a) and 7(b).

The Examiner is requested to approve these drawing changes.

099254-11901
T06T11-152E660

D O C U M E N T S

Richard M. Goldberg
Richard M. Goldberg
Attorney for Applicants
Registration No. 28,215

2